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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Markus Olhofer & Bernhard Sendhoff  
APPLICATION NO.: 10/080,742  
FILING DATE: February 21, 2002  
TITLE: Strategy Parameter Adaption In Evolution Strategies  
EXAMINER: Not Yet Known  
GROUP ART UNIT: 2123  
ATTY. DKT. NO.: 23077-06634

#4

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JUL 15 2002

Technology Center 2100

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: 1 July 2002 By: John T. McNelis  
John T. McNelis, Reg. No.: 37,186

COMMISSIONER FOR PATENTS  
WASHINGTON, DC. 20231

**INFORMATION DISCLOSURE STATEMENT**  
**Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;

- before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
  - Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
    - no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
    - each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
    - no item of information contained in this Information Disclosure Statement was cited in a communication from a

foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

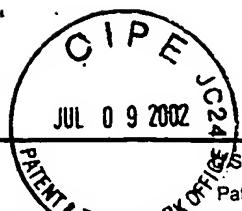
- attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- after the payment of the issue fee. Applicant request that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. [APPLICATION NUMBER], filed on [FILING DATE], and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
MARKUS OLHOFER &  
BERNHARD SENDHOFF

Dated: 30 June 2002

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FORM PTO-1449  
(REV. 6-89)

**INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Attorney's Docket No. 23077-06634

Serial No. 10/080,742

Applicant  
Markus Olhofer & Bernhard Sendhoff

Filing Date February 21, 2002 Group Art Unit 2123

**U.S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
				<b>RECEIVED</b>			
				<b>JUL 15 2002</b>			
				Technology Center 2100			

**FOREIGN PATENT DOCUMENTS**

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

	A	Angeline, Peter J., "Adaptive And Self-Adaptive Evolutionary Computations," Computational Intelligence: A Dynamic Systems Perspective, Palaniswami et al. (EDS), 1995, pages 152-163.
	B	Eiben, Agoston E., Hinterding, Robert, and Michalewicz, Zbigniew, "Parameter Control In Evolutionary Algorithms," IEEE Transactions On Evolutionary Computation, Vol. 3, No. 2, 1999, pages 124-141.
	C	Fagarasan, Florin, Negoita, Dr. Mircea Gh., "A Genetic Algorithm With Variable Length Genotypes. Applications In Fuzzy Modeling," Proceedings Of the Fourth European Congress on Intelligent Techniques, EUFIT '96, Vol. 1, 2-5, September 1996, pages 405-409.
	D	Srikanth, R., George, R., and Warsi, N., "A Variable-Length Genetic Algorithm For Clustering And Classification," Pattern Recognition Letters, North-Holland Publ. Amsterdam, NL, Vol. 16, No. 8, 1 August 1995 (1995-08-01), pages 789-800.
	E	Weinert, Klaus, and Mehnen, Jörn, "Discrete NURBS-Surface Approximation Using An Evolutionary Strategy," REIHE CI 87/00, SFB 531, 2000, pages 1-7.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to applicant.